



National Institute of Justice

S o l i c i t a t i o n

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Solicitation for Policing Research and Evaluation: Fiscal Year 1996

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This request for proposals announces a second year of evaluation and research support to address issues articulated in the Public Safety Partnership and Community Policing Act (Title I) of the Violent Crime Control and Law Enforcement Act of 1994 (the Crime Act), as well as related areas of law enforcement. It continues to be responsive to both Congressional and public demands for police accountability and to the need for development of a knowledge base that critically examines and refines policy and programmatic experience. The request for proposals builds upon National Institute of Justice (NIJ) grants awarded under Title I last year by the Department of Justice's (DOJ's) Office of Community Oriented Policing Services (COPS) to support:

- Evaluations of strategies for moving departments further toward community policing.
- Evaluations of problem-solving strategies and tactics addressing specific crimes.
- Studies of the changing role of the police and the relationship between the police and the community.

This second year will also support additional locally initiated police-researcher partnerships. In addition, NIJ and

COPS have identified two areas of new and important inquiry: measuring the impact of the police and police integrity. Studies are solicited in these areas to improve the effectiveness of the police.

Introduction

The Crime Act continues to present the Nation with an unprecedented opportunity to build and improve the police function, thus making our communities safer. Title I of the Crime Act, the Public Safety Partnership and Community Policing Act, responds to thousands of jurisdictions concerned about improving public safety and the quality of life in their communities. This has been done primarily by authorizing programs to hire police officers to help move departments further toward community-oriented policing.

In order to address the evaluation requirements set forth in Title I, the National Institute of Justice awarded 59 grants in fiscal year (FY) 1995. These grants ranged from a national evaluation of Title I to a group of longitudinal evaluations of community policing to 25 locally initiated police-researcher partnerships. A list of the studies supported in FY 1995 is available on request from the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480, and by fax at 202-616-9249.

NIJ hereby solicits proposals for a second year of evaluations and research studies that respond to these needs, document and assess activity stimulated by the Crime Act, and are useful to police departments [see 42 U.S.C. § 3796dd-4, 3793 (c)(11)(B)]. NIJ will continue to collaborate with COPS in this endeavor. Efforts supported in FY 1996 will build on those funded through NIJ's FY 1995 Policing Research and Evaluation solicitation by both filling gaps and undertaking new efforts. This second year of funding will provide up to \$12.5 million for projects that will evaluate current public safety partnerships and community policing programs; it will also fund research and evaluation projects that contribute directly to improving public safety and policing.

NIJ has also issued a solicitation for proposals pertaining to technology research and development partnership projects for community policing. Proposals are expected to describe research and development efforts to move technologies in support of community-oriented policing beyond the state of the art. Those efforts are to reflect work by partnerships between public and private sectors; e.g., between a police department and one or more private companies or academic institutions. Completed proposals must be received at the National Institute of Justice by the close of business on August 1, 1996. For a copy of *Solicitation for Technology Research and Development Partnerships Projects for Community Policing*, please contact the National Criminal Justice Reference Service at 1-800-851-3420.

The ongoing availability of Federal funds to mount studies and support evaluations of this Federal initiative should continue to increase the Nation's store of practical knowledge about policing. NIJ invites you to participate in and build on the work begun in FY 1995 by submitting proposals for research and evaluation in the areas discussed in Sections I through VII of this solicitation. An effort is made in each section to encourage applicants to build on existing and completed research. NIJ also welcomes proposals for research on related topics and evaluations of police programs, tactics, and strategies that operationalize the concepts animating the 1994 Crime Act.

I. Evaluations

Evaluations of Strategies for Moving Departments Further Toward Community Policing

Comparisons are needed of the utility of various strategies adopted by agencies to implement the community policing philosophy and operations. Evaluations should include information on department goals, community policing plans, and implementation of those plans. These studies should describe the investment and implementation process, analyze how the department and its operations have changed,

NIJ is trying to streamline its process to accommodate the volume of proposals anticipated under this and other Crime Act solicitations. **Researchers can help in a significant way by sending NIJ a nonbinding letter of intent by June 28, 1996, for proposals submitted under Section I, II, III, V, VI, and VII and by July 26, 1996, for proposals addressing Section IV of this solicitation.** The Institute will use these letters to forecast the number of peer panels it needs and to identify conflicts of interest among potential reviewers. There are three ways to send these "letters." You can fill out the mailer on the last page of this solicitation. You can reach NIJ by Internet by sending e-mail to tellnij@ncjrs.org and identifying the solicitation and section(s) you expect to apply for. You can write a letter with the same information to Solicitation for Policing Research and Evaluation: Fiscal Year 1996, 633 Indiana Avenue N.W., Washington, DC 20531. Help us help you.

and assess the effects of community policing on crime and fear, citizen satisfaction, quality of life, and other goals. Assessments of management and administrative strategies and procedures supporting community policing are especially encouraged. An emphasis is being placed in FY 1996 on building on the base of NIJ's FY 1995 awards and supporting research on topics not previously examined. Thus, topics for study might include evaluations of:

- Programs designed to alter the police organizational culture to support implementation of community policing.
- Strategies for collaboration with the local institutional environment (e.g., agencies of local government, community organizations, other public interest groups).
- Recruitment strategies designed to attract officers who will implement community policing.
- Training programs designed to support the demands of community policing (e.g., in-service training, recruit training, community training).
- Technological innovations (e.g., problem-solving information systems, crime analysis tools).
- Decentralization of police functions (e.g., investigations, crime analysis, strategic decisionmaking).
- Programs focused on minimizing conflict between specialists and generalists.
- Individual performance measurement schemes.

Evaluations of Problem-Solving Strategies and Tactics

NIJ will fund evaluations of both common and innovative strategies, tactics, and programs mounted by police officers and agencies against recurrent crime and disorderly conditions. These evaluations will build on and complement current studies. Research is needed on the specific dynamics involved in these problems; evaluations of particular police responses to them are also needed.

It is critically important that the research generate knowledge about the variety of discrete problems and solutions encompassed within a category, such as "robbery" or "burglary"—or even "ATM robbery" or "house burglary." Practical information of this kind is required by officers and citizens who are planning responses to the full range of problems arising in particular settings. The following list of commonly encountered crime and disorder condi-

tions is intended to build on completed and ongoing studies and illustrate the range of NIJ evaluation and research interests under this section of the solicitation:

- Auto theft (joy riding, carjacking, chop shops).
- Robbery (ATM, street, bank, convenience store).
- Crime rings (new and traditional forms of criminal infrastructure and enterprises).
- Crime in special environments (schools, multiple dwellings, transportation facilities, public housing, highways, malls).
- Disorder conditions (prostitution, vandalism, panhandling, public drinking).
- Drug markets (open air, crack houses).
- Family violence (child abuse, spouse assault, elder abuse).
- Gangs (violence, victim/witness intimidation).
- Gun violence (youth firearm violence, illegal gun markets).

Under this section of the solicitation, grants will be made at a variety of funding levels, for varying periods of time; they will include evaluations incorporating interdisciplinary perspectives, multisite locations, multiple methodologies, longitudinal studies of selected departments, case studies, State-by-State or regional impact analyses, and evaluations of programs, projects, and other activities supported by the Crime Act. In addition, grants are available to evaluate programs similar to, but not supported by, the Act for the purpose of promoting the implementation of COPS programs.

NIJ anticipates supporting as many as 12 awards totaling up to \$2 million under this section.

II. Changing Roles of the Police

Changing Professional and Organizational Roles Under the Community-Oriented Policing Philosophy

Implementation of community-oriented policing in police departments, sheriffs departments, and other policing agencies across the country is changing the roles and goals of law enforcement officers, who, in turn, are changing the communities they serve. The National Institute of

Justice seeks proposals for research studies to inform law enforcement personnel about the ways in which their profession and organizations are changing as a result of implementing a community policing model. This section of the solicitation encourages proposals that examine the changing structure of the organization as a whole and the changing role of certain functions within the organization. Possible topics include but are not limited to:

- The role bargaining units can play in the development of a community policing agenda and the role of memorandums of understanding.
- The police role in victim interaction and assistance.
- Changes in interactions among justice agencies and other government and service organizations.
- The impact of community policing on police use of force.
- The effect of the civilianization of police departments on the department structure.
- Changes in police/media relations.
- The changing role of detectives.
- The changing roles of middle-level managers and/or police executives.
- The potential for an increase or decrease in police department liability as a result of the greater discretion granted to patrol officers under community-oriented policing.

NIJ anticipates supporting as many as 14 awards totaling up to \$2.5 million under this section.

III. Police and the Community

Police departments have long believed that they cannot ensure community safety on their own. Rather, law enforcement and communities are seen as coproducers of safety and public order. It is thought that more effective problem solving in community-oriented policing occurs when police departments engage communities to nominate problems to be addressed and make suggestions on strategies and tactics to be implemented by the police, other agencies of government, and the community itself. The foundation of police-community interaction is built on the cumulative history of police-citizen encounters at the neighborhood level. Understanding the basis for citizen perceptions and attitudes regarding the police and citizen

willingness to collaborate with police is important in moving departments toward community policing. Additional research in this area, particularly on how “community” is defined in relation to community policing concerns, needs to be conducted.

There is a dearth of studies that analyze the types and degrees of community awareness and participation in community policing. A considerable number of people are unaware that their police are practicing community policing or learn about it indirectly—by a flier in the mail or a brief newspaper article or television story. Research on police efforts to inform the community, media cooperation, and community receptivity to community policing needs to be enhanced.

Research that measures the type and amount of community participation also needs to be conducted. Participation can include, but is not limited to, such activities as letter writing and attendance at community meetings. Other needed research includes assessing the degree to which a community desires to participate with the police in community policing efforts and is ready or able to do so (e.g., level of community organization or potential for organizing). Research on related topics (e.g., the capability of a community to organize itself to work with law enforcement in creating safety and the ways capability may be influenced by a police department that actively seeks engagement with the community) will provide officers and departments with a clearer notion of how to engage and mobilize communities. This area may include dimensions of awareness that affect residents’ willingness to participate.

Little research has been conducted on community/police interaction issues related to victims of crime and restorative justice. The police are typically the victim’s first—and often only—contact with government. Research is encouraged on topics that promote a better understanding of police-community links—for example, with regard to restorative activities (such as community service, mediation, victim impact assessment, and restitution)—in serving victims of crime.

NIJ will support long-term, multimethod, single- or multidepartment studies (or groups of studies), using a range of quantitative and qualitative methodologies, such as:

- Replications of observational studies in departments implementing community policing. Applicants interested in replications of observational studies can request “The Impact of Community Policing at the Street Level: An Observational Study-Report of Research Design and Methods” from the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480, and by fax at 202-616-9249.
- Research on collaborative problem solving between police and community.
- Studies on community awareness and perception of community policing.
- Studies on community participation in community policing.
- Research on the definition of “community” in community policing.
- Investigations of police interaction with the public.
- Investigations of police interaction with political, economic, cultural, media, and private security agencies.
- Examination of police interaction with victims of crime and restorative justice initiatives.
- Studies on the correlates and control of officer misconduct, particularly in community policing.

NIJ encourages applicants to study these issues in a variety of jurisdictions and police agencies, including those serving Indian tribes and rural as well as metropolitan areas. Again, the emphasis in FY 1996 is on building practical knowledge and filling gaps in the existing body of research. NIJ anticipates supporting as many as 12 awards totaling up to \$2 million under this section.

IV. Locally Initiated Research Partnerships

NIJ recognizes that in order for police practitioners and scholars to continue the development of the law enforcement profession, sound research and program evaluations are needed. Community policing has increased the need for police executives to use research to define problems, design solutions, and assess the effects. Therefore, NIJ will offer grant support for close, ongoing collaborations between police departments, sheriffs, or other police agencies and researchers. Partnerships supported this year will build on the experience of police-researcher collaborations begun in FY 1995. Applicants are encouraged to

review NIJ's FY 1995 awards to get a sense of the variety of partnerships supported. The ultimate goal of these collaborations should be to benefit both parties to the partnership during and beyond the Federal funding period. The partnerships should provide police departments with a resource for policy-relevant research and evaluation of law enforcement programs and strategies. The partnerships should afford scholars the means and opportunity to contribute, on an ongoing basis, to the growing body of knowledge about policing.

Funding under this section of the solicitation is intended to support the establishment of police practitioner-researcher partnerships, utilization of the partnerships to develop a research agenda, and completion of at least one research project.

NIJ supports a wide range of partnership structures. For example, a police agency or a consortium of departments may seek to contract with a qualified researcher on a full- or part-time basis; the agency or consortium may propose a formal department linkage with researchers at local or regional universities or other academic or research entities. Research partnerships may also include other local government, private, and/or community institutions. A police agency, research institute, or university would be acceptable as the grantee organization, but the application must reflect a genuine police-researcher collaboration. Applicants must clearly demonstrate a commitment to the partnership on all sides.

This solicitation requires that the application include a task outline for the duration of the proposed project, with a timeframe that allows for the completion of an actual research study. Further, since NIJ believes that documentation of the development of the partnership is critical information, the application must include a plan to create a system to record the establishment, development, and achievements of the research collaboration. NIJ is supporting an evaluation of these locally initiated police practitioner-researcher partnerships. Grantees in this program are required to participate in this evaluation.

During FY 1996, NIJ expects to fund a number of partnership projects and will ensure distribution across size of jurisdiction (large, medium, and small; urban, suburban, and rural) and geographic region of the country. Police-researcher partnerships supported in FY 1995 are eligible to apply for continuation funding this year. In addition to standard selection criteria, continuation applications will

depend on accomplishments to date and need. Up to \$2 million may be awarded for 20 to 40 police-researcher partnerships.

V. Measuring the Impact of Police

Historically, police organizational performance has centered on counts of crime, usually aggregated to correspond to the boundaries of an agency's jurisdiction. This focus is usually attributed to the police professionalism movement and its concern with crime control as the exclusive function of law enforcement. Basing judgments of police performance on aggregate measures of crime has some advantages, the availability of a standard measure foremost among them, but may encourage a limited conception of the role of police.

Recent developments in policing policy and research suggest a need to reconceptualize measures of police organizational performance in a way that more broadly reflects police goals. With the acceptance of community-centered and problem-solving approaches to policing, measures that focus attention on quality of life issues, policing process and strategies, and indicators of community satisfaction must be added to the assessment list. New developments in policing policy and data management have also emphasized the value of disaggregated measures for purposes of crime analysis, "hot-spot" identification, and both tactical and strategic decisionmaking. There is also a need to more routinely include measurements of the context of police organizational performance in assessments of police impact. Such measures could include age distribution, employment trends, and short-term phenomena such as sporting events, weather, civil disorders, or a gang truce. At present, no consensus exists regarding how to improve the measurement of police impact—including what measures to use, levels of measurement, and links among measures used.

This section of the solicitation focuses on the question: "How do we know a good police department when we see one?" Proposals are sought that address general and specific issues concerned with assessing the impact of police on crime, the quality of community life, and/or citizen satisfaction. Innovative methods are needed for acquiring new types of qualitative and quantitative data that will inform these analyses. A wide range of topics could be responsive to this section, including:

- How do the police determine their rate of success? Do they use specific objective measures or subjective judgments or both, and what are these measures?
- How do criminals assess the potential of the police? Do they assess the level of potential police response prior to committing a crime? If so, what measures do they use?
- What does the institutional environment (e.g., government, interest groups) and the public-at-large expect of the police, and how does it measure satisfaction? How and why do these expectations change over time?
- How is the view of the police influenced by the media?
- How have police agencies affected crime longitudinally and/or comparatively?
- What innovative measures of episodic events and “street level” intelligence can be developed that will improve both crime analysis and short- and long-term assessment of police? Events such as a local disturbance, a new program, a change in laws or policies, a gang truce, etc., may occur locally but will not likely appear in any standard statistical measure. New methodologies are needed enabling the collection and incorporation of such short-term, local events into assessments of police organizational performance.

NIJ anticipates supporting as many as 10 awards totaling up to \$2 million under this section.

VI. Police Integrity

Recent serious incidents throughout the country have put significant pressure on the police profession to respond with constructive ideas and strategies regarding the integrity and ethics of police organizations. Two of the goals of community policing are to enhance community involvement with individual police officers and their department and to encourage citizen involvement in addressing crime and disorder in neighborhoods and cities. Citizen concerns regarding police integrity and ethical behavior could seriously hamper interactions between citizens and police. Thus, it is incumbent upon police agencies to create an atmosphere in which high standards of integrity and ethical behavior endure.

There is good reason to be concerned with and about police integrity as departments move toward community policing. Police departments represent government’s most visible symbol of justice. Because police officers are given

special powers of arrest, the authority to use force, and are required to judge the conduct of citizens, it is not surprising that charges of misconduct, when leveled at the police, alarm citizens and cause them to demand an accounting and a solution.

The issue of police integrity extends far beyond the concept of the corrupt police officer to include abuse of police authority (e.g., police misuse of force). Violations of integrity occur in police departments not only as a result of opportunity and greed, but also because policing culture is especially powerful in obligating group loyalties that may supersede loyalty to the department and the law.

This solicitation seeks proposals that will examine practical applications as well as provide basic research on broad issues of organizational integrity and ethics within the profession of policing. From a broad perspective, the issues of integrity and ethical behavior have received scant attention in policing literature and research efforts. The framework for examining police integrity and ethical behavior can be built around several specific issues, including:

- Effects of the police culture on integrity and ethical behavior.
- Role of police leadership and management in setting ethical standards and tone in departments.
- Management responses to officer misconduct.
- Efforts to enhance multicultural understanding.
- Efforts to provide training on organizational values and policies.
- Citizen complaint resolution reforms.
- Models of management responses to integrity and ethical issues from other professions and businesses.
- Integrity and ethics in policing as related to integrity and ethics in the other components of the criminal justice system and links between the components of the system in this area.
- Comparisons of how different police organizations shape and manage integrity issues both in terms of style of agency and regional differences.
- The influence of the ethical climate, both locally and nationally, on police organizations.

NIJ anticipates supporting as many as 10 awards totaling up to \$2 million under this section.

VII. Law Enforcement Family Support

Section 210201 of the Crime Act, “Law Enforcement Family Support,” (42 U.S.C. 3796jj, et seq.) will assist Federal, State, and local law enforcement agencies to develop and implement policies and programs to reduce stress and promote family well-being through programs of research, training, technical assistance, and financial support.

The pervasive nature of job-related stress in law enforcement was highlighted in 1986 when a nationwide assessment of law enforcement training needs found that State and local officers in all types and sizes of agencies ranked the need for training in personal stress management as the highest priority. Reported negative consequences included high rates of alcohol abuse, marital difficulties, domestic violence, stress-related health problems, disability retirements, and ultimately suicide. An increasing number of departments, particularly in larger jurisdictions, now operate various forms of stress reduction and employee assistance programs, in some cases also making program services available to officers’ families. It should be noted that an important aspect of the Law Enforcement Family

support legislation is the emphasis it places on family well-being and the provision of stress reduction and support services, not only to individual law enforcement officers, but also to members of their families. The legislation permits up to 10 percent of program funds to be used for research and evaluation. Rigorous studies are needed about the extent and nature of the problem as it affects officers, their families, and law enforcement agencies; the relative effectiveness of different program elements, particularly cost-effective approaches; the optimal organizational arrangements to promote officers’ acceptance and use of services; those services most needed and/or desired by officers and their families; feasible programs for small or rural agencies; and research on organizational contributors to stress.

One of the purposes of this title of the Act is to authorize the Attorney General to determine issues to be researched by the Department of Justice and grant recipients. NIJ hereby solicits proposals to construct a long-term research agenda to aid the development of programs for the reduction of stress among law enforcement officers and their families. This agenda should build on the forthcoming Issues and Practices Report, *Developing a Law Enforcement Stress Program for Officers and Their Families*, and ongoing research being supported by NIJ in this area. Applicants should also plan to use information being developed in projects supported in the related solicitation, *Demonstration and Training Programs for the Reduction of Stress Among Law Enforcement Officers and Their Families* (see box). NIJ expects to support one award of up to \$100,000 under this section of this solicitation.

Dissemination of Research and Evaluation Findings

NIJ is interested in rapid, innovative methods as well as those that are more traditional to disseminate the results of studies and evaluations. NIJ will be actively pursuing strategies with the COPS Office to facilitate dissemination of findings produced through activities supported by this solicitation. Applicants are encouraged to include innovative dissemination ideas in proposals submitted under Sections I through VII.

Application Information

NIJ wants to encourage new grantees (e.g. small departments, sheriffs departments, new researchers) to apply

The National Institute of Justice is issuing an additional solicitation this year on the topic of law enforcement family support under Title XXI of the 1994 Crime Act. The purpose of this related effort is to develop and demonstrate (a) exemplary models of innovative stress reduction programs for State and local law enforcement personnel *and their families*, or, alternatively, (b) a model training program, with a strategy for disseminating it nationally, that State and local law enforcement agencies can use in training their trainers in how to establish effective stress reduction programs. Respondents interested in this related effort are encouraged to obtain a copy of NIJ’s solicitation, *Demonstration and Training Programs for the Reduction of Stress Among Law Enforcement Officers and Their Families*, by contacting the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480, or by fax at 202-616-9249.

to the various sections of this solicitation. Crime Act materials and related NIJ publications and current projects are available upon request from the U.S. Department of Justice Response Center at 800-421-6770, at 202-307-1480, and by fax at 202-616-9249.

Application Requirements

This section presents general application information, recommendations to proposal writers, and requirements for grant recipients. The application form, SF 424, is included at the end of this document. Proposals not conforming to these application procedures will not be considered.

Award period. In general, NIJ grants and cooperative agreements are awarded for a period of up to 24 months. Projects with adequate justification for longer budget periods are also considered.

Award amount. Awards totaling up to \$12.5 million will be made available for this NIJ solicitation.

Due date. Ten (10) copies of **fully executed proposals** should be sent to the following address:

FY 1996 Policing Research and Evaluation
National Institute of Justice
633 Indiana Avenue N.W., Room 1352
Washington, DC 20531

Indicate the section of this solicitation to which the proposal responds:

- I. Evaluations
- II. Changing Roles of Police
- III. Police and the Community
- IV. Locally Initiated Research Partnerships
- V. Measuring the Impact of Police
- VI. Police Integrity
- VII. Law Enforcement Family Support

Completed proposals that respond to Sections I, II, III, V, VI, and VII **must be received** at the National Institute of Justice by the close of business on **July 22, 1996**; those responding to Section IV **must be received** at the National Institute of Justice by the close of business on **August 15, 1996**.

See box on page 2 regarding deadlines for letters of intent.

Contact. Applicants are encouraged to contact the U.S. Department of Justice Response Center to obtain information about topic viability, data availability, or proposal content before submitting proposals and to obtain referrals to NIJ staff. The Response Center can be reached at 800-421-6770, at 202-307-1480, and by fax at 202-616-9249.

Certifications. Applicants should read and sign the certification form regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements included in this solicitation. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

Recommendations to Proposal Writers

Over the past 4 years, Institute staff have reviewed approximately 1,500 grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. Others reflect standard NIJ requirements.

The author(s) of the proposal should be clearly identified.

Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed. The Institute suggests that applicants make certain they address the questions, issues, and requirements set forth below when preparing an application.

1. What is the subject or problem you wish to address? Describe the subject or problem and how it affects the criminal justice system and the public. Discuss how

your approach will improve the situation or advance the state of the art of knowledge or state of the science and explain why it is the most appropriate approach to take. Give appropriate citations to the research literature. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

2. What do you want to do? Explain the goal(s) of the project in simple, straightforward terms. The goal(s) should describe the intended consequences or expected overall effect of the proposed project rather than the tasks or activities to be conducted. To the greatest extent possible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

3. How will you do it? Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks also will help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

4. What should you include in a grant application for a program evaluation? If a grant application is for a program evaluation, describe how the evaluation will determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project's effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique, or the administration of the project.

5. How will others learn about your findings? Include a plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project, such as publication of journal articles or distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." A statement that a report or research findings "will be made available to" the field is not sufficient. The specific means of distribution or dissemination as well as the types of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and should describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

6. What are the specific costs involved? The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of "other" or "miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies.

7. How much detail should be included in the budget narrative? The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on SF 424 and in TOTAL PROJECT COSTS in the Budget Detail Worksheet (OJP Form 7150/1). When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consult-

ants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for designated personnel (e.g., project director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.
- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375). Supply and expense estimates offered simply as "based on experience" are not sufficient.

8. What travel regulations apply to the budget estimates? Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, number of persons traveling, number of trips to be taken, and length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, subtotals for these categories should equal the estimate listed on the budget form.

9. Which forms should be used? A copy of SF 424, Application for Federal Assistance, plus instructions, appears at the back of this document. Please follow the instructions carefully. In addition, complete the Budget Detail Worksheet (OJP Form 7150/1), OJP Form 4000/3 (Assurances), and OJP Form 4061/6 (certifications regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements).

10. What technical materials are required to be included in the application?

- A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities and, when known, the location(s) of field research.
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goal(s), and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- A detailed statement of the proposed research or study design and analytical methodologies. Proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.

- Letters of support from participating agencies.
- The applicant's curriculum vita should summarize education, research experience, and bibliographic information related to the proposed work.

11. How may grant funds be used? Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

12. To what extent may indirect costs be included in the budget estimates? It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved

by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, at 202-307-0623 to obtain information about preparing an indirect cost rate proposal.

13. What, if any, matching funds are required?

Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

14. Should other funding sources be listed? Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

15. What are the deadlines? Completed applications must be received at NIJ by close of business on **July 22, 1996** for proposals responding to Sections I, II, III, V, VI, and VII of this solicitation; they must be received at NIJ by close of business on **August 15, 1996** for proposals responding to Section IV. See box on page 2 regarding deadlines for letters of intent.

16. Is there a page limit? The Institute has established a limit of 30 double-spaced pages (with font size not smaller than 12 point) for all normal grant applications. This page limit does not include references, budget narrative, curriculum vitae, forms noted in item 9 above, or necessary appendixes. Applications for small grants (\$1,000-\$50,000) are limited to 15 double-spaced pages. Proposals failing to conform to these page and font limitations will not be accepted.

17. What elements constitute the proposal? The following components, presented in the following order, are mandatory. Omission can result in rejection of the application:

1. SF 424 (with Assurances attached), followed by OJP Form 7150/1 (Budget Detail Worksheet), budget narrative, negotiated rate agreement, and certifications.
2. Names and affiliations of all key persons from applicant and subcontractor(s), advisers, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.
3. Abstract.
4. Table of contents.
5. Project narrative.
6. References.
7. Résumés of key personnel.

18. What does the review process entail? After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

19. What are the criteria for an award? The essential question asked of each applicant is, "If this study were successful, how would criminal justice policies or operations be improved?" Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.

- Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants' awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant's awareness of factors that might dilute the credibility of the findings. Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant's understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

Applicants' qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the proposed research or study. Costs are evaluated in terms of the reasonableness of each item and the utility of the project to the Institute's program.

20. Are there any other considerations in selecting applications for an award? Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

The applicant's performance on previous or current NIJ grants will also be taken into consideration in making funding decisions.

21. Who is eligible to apply? NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to

waive their fees. Where appropriate, special eligibility criteria are indicated in the solicitation.

22. Does NIJ accept resubmission of proposals?

The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate on Question 8, SF 424, that the application is a **revision**. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) and include 1) the title, submission date, and NIJ-assigned application number of the previous proposal, and 2) a brief summary of responses to the review and/or revisions to the proposal.

Requirements for Award Recipients

Required products. Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victim services providers; and Federal, State, county, and local elected officials.

Products should include:

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. Material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the NIJ publication *Depositing Data with the Data Resources Program of the National Institute of Justice: A Handbook*.
- Brief project summaries for NIJ use in preparing annual reports to the President and Congress.

As appropriate, additional products such as case studies and interim and final reports (e.g., articles, manuals, or

training materials) may be specified in the proposal or negotiated at the time of the award.

Prohibition on supplanting funds. Federal funds must be used to supplement existing funds and not replace those funds which have been appropriated for the same purpose. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Public Release of Automated Data Sets

NIJ is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare user guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau at 202-307-1355.

Standards of Performance by Recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in *Financial Guide*, published in April 1996 by the Office of Justice Programs. This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

Audit requirement. State and local governments are governed by the Single Audit Act of 1984 and Office of Management and Budget (OMB) Circular A-128, "Audits of State and Local Governments." Nonprofit organizations and institutions of higher education are governed by OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Institutions." The type of audit required under these circulars is dependent upon the amount of Federal funds that can be audited during the recipient's fiscal year.

For example:

- If the organization receives \$100,000 or more per year in Federal funds, the organization shall have an organizationwide financial and compliance audit.
- If the organization receives between \$25,000 and \$100,000 a year in Federal funds, the organization may elect to have an organizationwide audit or program audit.
- If the organization receives less than \$25,000 a year in Federal funds, the organization shall be exempt from the audit requirement.

Commercial (for-profit) organizations shall have financial and compliance audits performed by qualified individuals who are independent from those who authorize the expenditure of Federal funds. This audit must be performed in accordance with Government Auditing Standards. The audit thresholds contained in OMB Circulars A-128 and A-133 apply.

Financial status reports. Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller, Office of Justice Programs, will provide a copy of this form in the initial award package.

Conditions for suspension or termination of funding. The National Institute of Justice may suspend (in whole or in part), terminate funding for, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; the Anti-Drug Abuse Act of 1988; program guidelines issued thereunder; or other provisions of Federal law.

- Failure to make satisfactory progress toward the goals or strategies set forth in this application.
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failure to submit reports.
- Filing a false certification in this application or other report or document.

Before imposing sanctions, the National Institute of Justice will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in U.S. Department of Justice regulations in 28 CFR Part 18.

Program Monitoring

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in Government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialog, with collegiality and mutual respect. Some of the elements of this dialog are:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and put into operation.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with schedules, milestones, and products set forth in the proposal. (See statement on "Timeliness" below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to Congress. NIJ will give as much advance notification of these requests as possible but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.

- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- Providing NIJ with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.
- Other reporting requirements (progress reports, final reports, and other grant products) are spelled out elsewhere in this section. Financial reporting requirements will be described in the grant award documents received by successful applicants.

Progress Reports

NIJ Program Managers should be kept informed of research progress. Written progress reports are required on a semiannual basis and should inform the Program Manager of which tasks have been completed and whether significant delays or departures from the original workplan are expected. The first progress report should cover the period from the beginning date of the project through the end of the first **complete** quarter (quarters are January 1–March 31, April 1–June 30, July 1–September 30, and October 1–December 31). Subsequent progress reports should cover the next two quarters.

All progress reports are due 30 days following the end of the reporting period. For example, if a grant is awarded in May, the first progress report would cover the rest of the current quarter (through June 30) and the first complete quarter (July 1–September 30) and would be due October 31; the second progress report would cover the next two quarters (October 1–December 31 and January 1–March 31) and would be due April 30.

Timeliness. Grantees are expected to complete award products within the time frames that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications. The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than inclusion of the following acknowledgment and disclaimer:

This research was supported by grant number _____ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Data confidentiality and human subjects protection. Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings:

[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings (42 United States Code 3789g).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 CFR, §22. A short "how-to" guideline for developing a privacy and confidentiality plan can be obtained from NIJ Program Managers.

In addition, the U.S. Department of Justice has adopted human subjects policies similar to those established by the U.S. Department of Health and Human Services. If an institutional review board is necessary for this project, a copy of the board's approval must be submitted to the National Institute of Justice prior to the initiation of data collection. Researchers are encouraged to review 28 CFR 46, §46.101, to determine their individual project requirements.

Notice: If you are planning to respond to this solicitation, please complete and mail the notice of intent form on the last page.

Application Forms

Previous Editions Not Usable

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: —“New” means a new assistance award. —“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date. —“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

Budget Detail Worksheet

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
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TOTAL

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
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TOTAL

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known.

Purpose of Travel	Location	Item	Computation	Cost
				TOTAL_____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the “supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

[illegible]

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand-held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

G. Consultants/Contracts

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$150 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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Subtotal_____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Subtotal_____

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
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Subtotal_____

TOTAL_____

(H) Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		TOTAL

(I) Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct cost categories.

Description	Computation	Cost
		TOTAL

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	
TOTAL PROJECT COSTS	_____
Federal Request	_____
Non-Federal Amount	_____

INSTRUCTIONS

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Dear Program Manager:

I intend to apply for funds under this solicitation. I expect to apply under the following sections (check all that apply):

- _____ I. Evaluations
- _____ II. Changing Roles of Police
- _____ III. Police and the Community
- _____ IV. Locally Initiated Research Partnerships
- _____ V. Measuring the Impact of Police
- _____ VI. Police Integrity
- _____ VII. Law Enforcement Family Support

I would like to be considered as a reviewer for other sections: ☐ Yes ☐ No

Name_____

Address_____

Telephone_____



Fold and Tape

AFFIX
FIRST CLASS
STAMP

NIJ Solicitation for Policing Research and
Evaluation: Fiscal Year 1996
633 Indiana Avenue N.W., Room 1352
Washington, D.C. 20531

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For more information on the National Institute of Justice, please contact:

National Criminal Justice Reference Service

P.O. Box 6000
Rockville, MD 20849-6000
800-851-3420
e-mail: askncjrs@ncjrs.org

You can view or obtain an electronic version of this document from
the NCJRS Bulletin Board System (BBS)
or the NCJRS Justice Information Center World Wide Web site.

To access the BBS, direct dial through your computer modem:
301-738-8895 (modems should be set at 9600 baud and 8-N-1),
or Telnet to ncjrsbbs.aspensys.com or
Gopher to ncjrs.org: 71

To access the World Wide Web site, go to
<http://www.ncjrs.org>

If you have any questions, call or e-mail NCJRS.

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